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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/776,946	02/11/2004	Shifeng Pan	P1091US30

29490  
TIMOTHY L. SMITH  
GENOMICS INSTITUTE OF THE  
NOVARTIS RESEARCH FOUNDATION  
10675 JOHN JAY HOPKINS DRIVE, SUITE E225  
SAN DIEGO, CA 92121-1127

CONFIRMATION NO. 4267

## FORMALITIES LETTER

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100  
"OC000000012662916"

Date Mailed: 05/14/2004



## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

05/18/2004  
05/14/2004  
Action Due Date

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

✓ Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

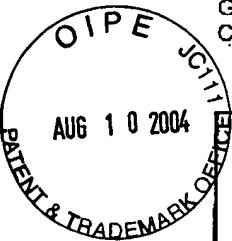
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

BEST AVAILABLE COPY

RECEIVED  
GNF, Initial Patent Examination Division

GNF Docket No. P1091US30  
Confirmation No. 4267



PTO/SB/97 (08-03)  
Approved for use through 07/31/2008; OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

### Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence for U.S. Patent Application No. 10/776,946, filed February 11, 2004 in re Shifeng Pan, *et al.* is being facsimile transmitted to the United States Patent and Trademark Office at facsimile number (703) 746-4060 on August 10, 2004.

Date

Signature

Jill R. Clarke

Typed or printed name of person signing Certificate

Customer No. 29490  
Genomics Institute of the Novartis Research Foundation  
Telephone: 858-812-1855  
Fax: 858-812-1981

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

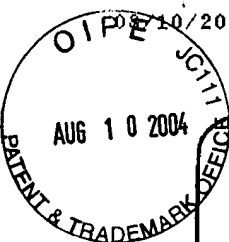
#### Attachments:

1. Form PTO/SB/21 Transmittal Form with one month extension of time requested (1 pg.);
2. Fee Transmittal for FY 2004 with authorization to charge Deposit Account No. 50-1885 in the amount of \$130 for late declaration surcharge and \$110 for one month extension of time (1 pg. + 1 pg. copy);
3. Executed Inventor Declaration (2 pgs.);
4. Photocopy of executed Power of Attorney from Assignee IRM LLC to Timothy L. Smith (1 pg.);
5. Executed Statement Under 37 CFR 3.73(b) (1 pg.);
6. Photocopy of executed Assignment from Shifeng Pan, Nathanael S. Gray, Yuan Mi, Wenqi Gao, Yi Fan, and Sophie Lefebvre to IRM LLC (7 pgs.);
7. Executed Power of Attorney and Correspondence Address Indication Form (1 pg.);
8. Photocopy of Notice to File Missing Parts of Nonprovisional Application (2 pgs.); and

Total pages (including this paper): 18

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Approved for use through 07/31/2008. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE**FEE TRANSMITTAL  
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 240**Complete if Known**

Application Number 10/776,946

Filing Date February 11, 2004

First Named Inventor Shifeng Pan

Examiner Name

Art Unit 1614

Attorney Docket No. P1091US30

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit  
Account  
Number

50-1885

Deposit  
Account  
NameGenomics Institute of the Novartis Research  
Foundation

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1001	770	2001	385	Utility filing fee
1002	340	2002	170	Design filing fee
1003	530	2003	265	Plant filing fee
1004	770	2004	385	Reissue filing fee
1005	180	2005	80	Provisional filing fee

Fee Paid

SUBTOTAL (1)

(\$ 0)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
0	-20 **	0	0
0	-3 **	0	0
Multiple Dependent			0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	88	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0)

\*\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity

Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	130
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	110
1252	420	2252	210	Extension for reply within second month	
1253	650	2253	475	Extension for reply within third month	
1254	1,460	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	280	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1480	130	1480	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1808	180	1808	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 240)

**SUBMITTED BY**

Name (Print/Type)	Scott W. Reid, D.Phil.	Registration No. (Attorney/Agent)	48,087	Telephone	658-812-1547
Signature	<i>Scott W. Reid</i>			Date	August 10, 2004

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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GNF Docket No. P1091US30  
Confirmation No. 4267

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## Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence for U.S. Patent Application No. 10/776,946, filed February 11, 2004 in re Shifeng Pan, et al. is being facsimile transmitted to the United States Patent and Trademark Office at facsimile number (703) 746-4060 on August 10, 2004.

Date



Signature

Jill R. Clarke

Typed or printed name of person signing Certificate

Customer No. 29490  
Genomics Institute of the Novartis Research Foundation  
Telephone: 858-812-1855  
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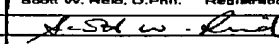
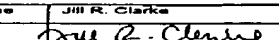
## Attachments:

1. Form PTO/SB/21 Transmittal Form with one month extension of time requested (1 pg.);
2. Fee Transmittal for FY 2004 with authorization to charge Deposit Account No. 60-1885 in the amount of \$130 for late declaration surcharge and \$110 for one month extension of time (1 pg. + 1 pg. copy);
3. Executed Inventor Declaration (2 pgs.);
4. Photocopy of executed Power of Attorney from Assignee IRM LLC to Timothy L. Smith (1 pg.);
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8. Photocopy of Notice to File Missing Parts of Nonprovisional Application (2 pgs.); and

Total pages (including this paper): 18

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TRANSMITTAL FORM		Application Number	
(to be used for all correspondence after initial filing)		10/776,946	
Total Number of Pages in This Submission		Filing Date	February 11, 2004
18		First Named Inventor	Shifeng Pan
		Art Unit	1614
		Examiner Name	
		Attorney Docket Number	P1091US30
ENCLOSURES (check all that apply)			
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/Declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.62 or 1.63		<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	
		<input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Fee Transmittal for FY 2004 with authorization to charge Deposit Account No. 60-1885 in the amount of \$130 for late declaration surcharge and \$110 for one month extension of time (1 pg. + 1 pg. copy); 2. Executed Inventor Declaration (2 pgs.); 3. Photocopy of executed Power of Attorney from Assignee IRM LLC to Timothy L. Smith (1 pg.); 4. Executed Statement Under 37 CFR 3.73(b) (1 pg.); 5. Photocopy of executed Assignment from Shifeng Pan, Nathanael S. Gray, Yuen Mi, Wenqi Gao, Yi Fan, and Sophie Lefebvre to IRM LLC (7 pgs.); 6. Executed Power of Attorney and Correspondence Address Indication Form (1 pg.); 7. Photocopy of Notice to File Missing Parts of Nonprovisional Application (2 pgs.); and 8. Fee Cover Sheet with Certificate of Transmission under 37 CFR 1.8 (1 pg.).	
		Remarks: The Director is authorized to charge any additional fees to Deposit Account No. 60-1885. <b>EXTENSION OF TIME</b> Applicants respectfully request one month extension of time to respond to the Notice to File Missing Parts mailed on May 14, 2004.	
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual name	Scott W. Reid, D.Phil. Registration No. 48,067		
Signature			
Date	August 10, 2004		
CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office at facsimile number (703) 746-4060 on the date shown below.			
Typed or printed name	Jill R. Clarke	Date	August 10, 2004
Signature		Date	August 10, 2004

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